



PIER - DEMAND RESPONSE RESEARCH CENTER

RESEARCH OPPORTUNITY NOTICE PROCESS DESCRIPTION

Final July 13, 2005

INTRODUCTION AND BACKGROUND

Under sponsorship by the California Energy Commission (CEC) in support of the Public Interest Energy Research (PIER) program, and in furtherance of the research activities related to its U.S. Department of Energy prime contract, Lawrence Berkeley National Laboratory (LBNL) is conducting research activities related to demand response initiatives in the State of California. The term “demand response” refers to the curtailment of electrical loads during critical peak periods, and is further described at the Demand Response Research Center (DRRC) Web site, at the following link: drcc.lbl.gov.

Each of the research topics being investigated are described in a detailed Research Opportunity Notice (RON) published to the DRRC Web site. Each RON is an opportunity for interested participants to respond to a Request for Information (RFI) with a four-page summary research statement. The RFI is to determine eligibility for participation in a Request for Proposal (RFP), which could result in award of a subcontract funding the proposed research. The RFI and RFP combined constitute the award process for a RON.

The DRRC funds research through a subcontract issued by LBNL, which under contract to the CEC - PIER program provides the technical expertise, project management, and administrative skill required to implement the research initiatives of the DRRC. The number of subcontracts awarded for a single RON, including the amount funded for each proposal response and in total for a RON will be determined by the nature of the research topic, quality and value of the responses, among other factors. Award of a subcontract is contingent upon mutual acceptance of the terms and conditions for a subcontract by LBNL and the intended recipient.

PURPOSE

The purpose of this document is to provide an overview of the process implemented by LBNL to announce a RON and through potential award of one or more subcontracts funding the research proposed by participants. This document applies to each RON published to the Web site, unless as revised or otherwise indicated by LBNL for a specific RON. While LBNL will attempt to make proper notification to participants of revisions to this document, it is the responsibility of participants to use the most current version of this document. Participants may ensure use of the most current version by accessing this document from the Web site and observing the date shown in the document title, above.

RESEARCH OPPORTUNITY NOTICE

Each RON may result in award of one or more subcontracts funded in two research phases, as follows:

Phase 1: Exploratory Research

Phase 1 research is exploratory in nature and must develop a set of initial deliverables related to the research topic for the RON. One product of the Phase 1 research will be a work plan for the Phase 2 research. Phase 1 funding will be limited to the amount specified in the RON, and must be finished within the time period specified in the RON.

Phase 2: Research Work Plan

Award for Phase 2 will be evaluated based on the work plan and results from Phase 1, and is intended to consider only the merit of the research performed and work plan proposed by the participant, not comparatively review the research proposed for Phase 2 with that proposed by others. The level of funding and duration for Phase 2 research will depend on the review from a technical advisory group, which may include, for example, representatives of LBNL, CEC, DOE, or their subcontractors engaged as technical advisors, and other third parties such as industry or utility representatives. LBNL specifically reserves the right to modify the intended method or process for award and funding of Phase 2 research as described.

PROCESS OVERVIEW (PHASE 1)

Award of any subcontracts by LBNL for Phase 1 research proposed in response to a RON will be conducted in the steps described, below. All responses are voluntary, and LBNL will not reimburse any costs incurred in submitting a response. LBNL reserves all rights available, including the right to revise or withdraw the RON prior to the date responses are due, and to reject any or all responses to a RON.

Step 1: Request for Information

LBNL will announce each RON through an e-mail sent to DRRC list-serve members and publication to the DRRC Web site approximately two (2) weeks prior to a scheduled teleconference. Participants choosing to respond will be required to submit a four-page research statement (referred to as a, "Research Summary") in response to the RFI. The Research Summary must be submitted prior to the due date specified for the RFI. The Research Summary may be reviewed by several interested parties for the RON, including, for example, the CEC, DOE, subcontractors or other third parties engaged by LBNL as technical advisors. The Research Summary submitted in response to the RFI is considered a public document and must not contain confidential information, trade secrets or other proprietary information. The process and requirements for submitting a Research Summary are further described in the section titled, "Response Procedures and Submittal," below. Selected participants will be invited to participate in a RFP. Responses to the RFI are considered solely for determination of eligibility for participation in the RFP.

Step 2: Request for Proposal

The RFP will be issued only to selected participants submitting a Research Summary that is determined to best meet the intended research objectives and offer the greatest overall value. The requirements and process for the RFP will be described by LBNL to those selected participants upon release of the RFP, and may vary according to the number of participants selected to participate in the RFP, available funding, research topic, and other factors.

RESPONSE PROCEDURES AND SUBMITTAL

For each RON, LBNL intends to substantially follow the procedures outlined below, which are subject to revision as indicated in the “Purpose” statement, above. Participants choosing to respond to one or more RON shall adhere to the current procedures as specified and as may be further instructed by LBNL for a specific RON.

- 1. Announce RON and Teleconference:** LBNL will announce the RON through an e-mail to the DRRC list-serve approximately two (2) weeks prior to the teleconference, and soon following, post the necessary documents for each RON to the DRRC Web site. The public teleconference is intended to provide LBNL the opportunity to present the RON and further describe the research objectives. LBNL will entertain questions by individual participants throughout the RON from publication of the RON and announcement of the teleconference through the specified due date for the RFI. At the discretion of LBNL, responses may be provided directly to the participant asking and/or forwarded to all participants for the RFI in a summary posted to the DRRC Web site. The posted summary may be revised and updated by LBNL prior to the due date for the RFI.
- 2. Registration and Notice of Intent to Respond:** Participants choosing to participate in the teleconference are required to register by sending an e-mail to drcc@lbl.gov, or at the DRRC Web site prior to download of posted documents. Those not currently on the DRRC list-serve can also register for the list-serve at the DRRC Web site. Within ten (10) days following the teleconference, participants are asked to send an e-mail to drcc@lbl.gov indicating whether or not a response is intended, indicating the firm or organization represented and each RON for which a response is intended. LBNL will consider the participant’s e-mail address provided for the list-serve as the single point-of-contact for each RON; it is the responsibility of the participant to make alternate arrangements as necessary.
- 3. Research Summary Preparation and Submittal:** Participants shall prepare a Research Summary for each RON to which a response is submitted. The Research Summary is limited to four (4) single-space typed pages, 12-point minimum font with 1” borders. The Research Summary shall address the goals and objectives of the research project, project scope, methods, deliverables, research team and timeline. Detailed budget information is not required in the Research Summary, although participants should be aware of the anticipated funding amount stated in the RON. The Research Summary must be submitted by e-mail to the attention of Nance Matson (NEMatson@lbl.gov), and cite the appropriate RON. Do not send the Research Summary to the California Energy Commission.
- 4. Evaluation:** LBNL will perform an initial evaluation of all responses, following which LBNL may discuss the Research Summary with the respondent for obtaining clarification or additional

information as may be necessary in completing the evaluation. Evaluation factors include but are not limited to, and are not necessarily listed in order of importance, relevance to the goals and objectives as stated in the RON, individual and organizational teamwork, qualifications and strengths, likelihood for success in proceeding to Phase 2, realism of timeline and anticipated funding requirements, and other factors.

- 5. Notification of Results:** LBNL will notify all respondents individually of the results for Step 1, selecting those respondents to proceed with the RFP in Step 2.